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ABSTRACT

During 1973-75, the Rand Corporation conducted a study of federally funded change agent programs to determine the factors for successful change in the schools at the local, state, and federal levels. The programs included the Elementary and Secondary Education Act (ESEA), Title III, Innovation Projects; ESEA Title VII, Bilingual Projects; Vocational Education Act, Part D, Exemplary Programs; and the Right-to-Read Program. This paper offers a general description of the study and outlines the proposed task schedule for the three phases and project management. The study proposed to conduct: (1) a nationwide survey of 225 change agent projects in 18 states; (2) indepth field studies of 30 projects; (3) an analysis of federal change agent projects and policies; (4) telephone interviews with 50 state education agency officials from 18 states and follow-up personal interviews; (5) a literature review; and (6) a resurvey of 50 Title III projects and 10 follow-up site visits. One figure and three tables are included. (LMI)

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SUMMARY OF REVISED STUDY DESIGN FOR CHANGE AGENT STUDY

J. Pincus and P. Greenwood

STUDY OF CHANGE AGENT PROGRAMS

A WORKING NOTE

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J. Pincus and P. Greenwood

November 1973

PREFACE

Education change agent programs are sponsored by the federal government to introduce or spread innovative practices at the local school district level. This two-year study, being conducted by Rand under HEW/OE sponsorship, is designed to determine what characteristics of the programs themselves, the innovations they support, or the districts that adopt them lead to successful implementation and continuation.

This summary report describes the aims of the study and the work plan for data collection, analysis, and synthesis. A more detailed description of the work plan is provided in a companion Rand working note from which this summary is taken, Revised Study Design and Progress Report for Change Agent Study (WN-8487-HEW, November 1973).

CONTENTS

PREFACE iii

Section

I. INTRODUCTION 1
1. General Description of Change Agent Study 1

II. REVISED TASK DESCRIPTION AND SCHEDULE OF WORK AND PRODUCTS 5
1. Phase I 5
2. Phase II 10
3. Phase III 13
4. Project Management 14

I. INTRODUCTION

1. General Description of Change Agent Study

Rand is conducting, under the sponsorship of the U. S. Office of Education, Department of Health, Education, and Welfare, a two-year study of programs designed to introduce and spread innovative practices in the public schools. These "change agent" programs often receive financial support from the federal government; a number of them are supported from state or school district education funds. The Rand study--examining in detail four federal innovative programs* and in less detail state and locally sponsored innovative programs--will identify what tends to promote various kinds of change in the schools and what doesn't. In particular, Rand will identify for federal, state, and local policymakers the quality, permanence, and extent of dissemination of innovations that can be expected for specified combinations of program characteristics and institutional practices. On the basis of the results of the study, Rand will make recommendations for public policy and, in particular, for federal administrators who plan and manage educational change agent programs.

The study poses seven key questions:

1. How should the degree, quality, and extent of innovation and dissemination of change in the public schools be assessed?
2. How do schools select, introduce, maintain, and spread different kinds of innovations?
3. How do differences in target groups, resource use, educational treatment and other characteristics affect the quality, persistence, and dissemination of innovations?
4. How do differences in institutional and political contexts affect the quality, persistence, and dissemination of innovations?

*Elementary and Secondary Education Act, Title III, Innovation Projects; ESEA Title VII, Bilingual Projects; Vocational Education Part D, Exemplary Programs; the Right-to-Read program.

5. How, if at all, do differences in interactions among the characteristics of innovations and the institutional-political context affect the quality, persistence, and dissemination of innovations?

6. What differences are there among innovations funded with various mixes of federal, state, and local funding?

7. What should federal policies be toward educational innovation in light of the political and financial constraints that the federal government faces in its dealings with the public schools?

These questions will be approached in light of the particular social and organizational context of American schooling. The school system is necessarily a conserver of values, and one which provides only a part of the student's education. The schools are subject to local and state control, with rather well-defined patterns of organizational behavior. In this complex system, it is not easy to define the quality or extent of an innovation, and innovations are themselves shaped and changed by the institutional context. Therefore the Rand study will consider both individual innovations in light of their impact on the school community and the cumulative impact of federal change agent programs within a district.

The educational policy system, consisting of federal, state, and local executive and legislative agencies, parents, students, and the public in general, is far too complex for this study or any other to probe fully. What this project attempts to do therefore is to focus on three levels that may be most amendable to policy changes--the Office of Education, state education agencies, and local school districts.

At the federal level, Rand staff will conduct four tasks for each change agent program: describing program goals, describing management strategies, assessing the results of those strategies, and determining what problems have arisen. This description and analysis will be the basis for addressing such important policy issues as the relative roles of state and federal agencies, the

appropriate foci for federal management emphasis, methods for encouraging adoption of successful practices and strategies for organizing change agent programs in OE.

At the state level, Rand will investigate how differences in federal program strategies affect SEA behavior, and how differences in SEA management affect the characteristics of change agent projects at the local level, including their persistence, quality, and dissemination.

At the local district level, Rand will investigate LEA characteristics, and project characteristics affecting such outcome measures as persistence, dissemination, quality, and institutional change.

The analysis at each level will be combined to allow examination and discussion of the interrelations among federal, state, and local policies, as well as formulation of policy recommendations.

The next section of this report describes the tasks proposed to carry out the change agent study, including task schedules, and work products.

In summary, the work of the study is proceeding as follows:

1. Rand has developed a series of hypotheses concerning innovation in the public schools, derived from previous research in this field (see P. Berman and M. W. McLaughlin, Implementing Innovations: Revisions for an Agenda for a Study of Change Agent Programs in Education, WN-8450-1-HEW, November 1973).

2. These hypotheses are embodied in questionnaires for a nationwide survey of 225 change agent projects in 18 states to be conducted at the school district level in November and December 1973 by National Opinion Research Center of Chicago, under a subcontract with Rand. These survey results will be validated and supplemented by 30 in-depth field studies, in a sample of the 225 projects. About 150 of the projects surveyed will be Title III, and the balance from other change agent programs (Tasks 4, 5, 7, 10).

3. At the same time, Rand is conducting an analysis of federal change agent programs and policies, which will describe individual programs and analyze policies by program and across programs (Task 3).

4. In January 1974, Rand will conduct telephone interviews of 50 state education agency officials responsible for coordinating change agent programs in 18 states. These surveys will be followed in the spring of 1974 by personal interviews in several of the states, conducted by Rand staff teams. The telephone surveys and field work will, together with documentary information, provide the basis for analyzing the effects of state policy on change agent programs (Tasks 7A, 10A).

5. The literature review, surveys, and field studies will be analyzed to test the hypotheses of the study, and the results will be reported to HEW in October 1974 (Tasks 13, 14, 16).

6. During the school year 1974-75, 50 of the Title III projects will be resurveyed and 10 of them will be sites for in-depth field work, in order to determine the extent to which they are disseminated beyond the original site, and the ways in which projects change over time. The final report on the results of this study will be submitted to HEW by September 30, 1975 (Tasks 15, 17-20).

II. REVISED TASK DESCRIPTION AND SCHEDULE OF WORK AND PRODUCTS

This section summarizes the status of work by task, including some revisions of tasks specified in the Rand technical proposal of May 1973. As indicated in Table 1, the major task changes proposed are as follows: deletion of one task (#11), combining of two tasks (#8 and #14), and identification of three separate tasks, formerly included in other tasks (#7A, #10A, #18A).

Table 2 indicates a proposed revised work schedule by task. Table 3 gives a detailed list of proposed work products, with associated tasks.

Progress to date on each task and plans for future tasks are as follows:

1. Phase I

Task 1 - Prepare Project Summary

Prepare and initial planning report outlining project purpose, tasks and research approach as agreed by Rand and USOE. This report was submitted to USOE on July 13, 1973 (Rand Administrative Report AR-832 HEW).

Task 2 - Literature Review and Hypothesis Development

Review literature on innovation change and dissemination and education; develop working hypothesis about these processes as a guide to the design of data collection and analysis. A draft version of this report was submitted to USOE on September 30, 1973 (WN-8450 by Paul Berman and Milbrey McLaughlin). A revised version of this literature review (WN-8450/1) is submitted with this revised study design as Appendix II.

Task 3 - Program Analysis

Review USOE program files and other pertinent literature, and interview USOE program offices; prepare a typology of program variables of each of the selected change agent programs; and analyze major policy issues connected with each change agent program. This task, originally scheduled for completion on September 30, 1973, has been amended to

Table 1

OE/Rand Change Agent Study:

Original and Revised Task Descriptions

Tasks	*Original Description*	*Revised Description (Proposed)*
Phase I		
1	Project summary	No change except for agreed revision in scope of work for Task 3
2	Review literature	
3	Review files and program analysis	
4	Draw sample and notify districts	
5	Design and pretest questionnaires	
6	Revise study design; update summary report	
Phase II		
7	Baseline survey	No change, except supplementary project director interviews as agreed
7A	[Included in Task 7]*	Survey of SEA program coordinators (telephone)
8	Analyze survey data	[Now included in Task 14]**
9	Select subsample of projects for intensive analysis	No change
10	Intensive field work	No change
10A	[Included in Task 10]	Personal interviews, 10 SEAs
11	Telephone survey, locally funded innovations	[To be deleted]
12	Telephone survey, schools adopting innovations	Possibly changed to mail survey
13	Revised data analysis and reporting plan	No change
14	Analyze data from field work and telephone surveys	Data analysis, now includes original Task 8
15	Refine data collection plan for second year	No change
16	Final report and executive summary	No change
Phase III		
17	Design and pretest second-year questionnaires	No change
18	Conduct second-year personal interviews	No change
18A	[Partly included in Task 20]	Data analysis
19	Conduct second-year field work	No change
20	Final report and executive summary	No change

*[ ] in original description indicates former task assignment.

**[ ] in revised description indicates task suggested for deletions or incorporation in other tasks.

Table 2

OE/Rand Change Agent Study:

Original and Revised Task Schedules

Task	*Original Completion Schedule*	*Revised Completion Schedule (Proposed)*
Phase I		
1	7/15/73	7/15/73*
2	8/01/73	9/30/73*
3	8/01/73	2/28/74
4	8/23/73	9/30/73*
5	9/01/73	9/30/73*
6	10/01/73	11/07/73*
Phase II		
7	1/01/74	1/10/74
7A	(1)	2/28/74
8	4/01/74	included in Task 14
9	3/10/74	3/20/74
10	6/01/74	6/10/74
10A	(2)	6/10/74
11	6/01/74	deleted
12	6/01/74	6/01/74
13	6/01/74	7/15/74
14	7/01/74	8/31/74
15	8/01/74	9/30/74
16	8/01/74	10/31/74
Phase III		
17	11/01/74	12/01/74
18	5/01/75	2/15/75
18A	(3)	8/15/75
19	5/01/75	6/10/75
20	7/01/75	9/30/75

*Completed task

(1) Formerly included in Task 7

(2) Formerly included in Task 10

(3) Formerly included partly in Task 20

Table 3

Completed and Proposed Study Products and Estimated Completion Dates

	Product	*Associated Task No.*	*Estimated Completion Date*
1.	Project summary	1	7/13/73*
2.	Preliminary literature review	2	9/30/73*
3.	Revised literature review	2	11/07/73*
4.	Revised study design	2-6	11/07/73*
5.	Federal program analysis	3	2/28/74
6.	Analysis of SEA questionnaires	7A	3/15/74
7.	Description of field work selection criteria, and initial data analysis	9	4/31/74
8.	Revised data analysis and reporting plan	13	7/15/74
9.	Analysis of SEA personal interviews	10A	8/15/74
10.	Analysis of adoption survey	12	8/31/74
11.	Analysis of survey data and field work	7-10, 12-14	9/15/74
12.	Data collection plan for second year	15	9/30/74
13.	Executive summary, first year	16	10/31/74
14.	Final report, first year	16	10/31/74
15.	Analysis of second-year survey data	18, 18A	6/30/75
16.	Analysis of second-year field work data	19	7/31/75
17.	Executive summary, second year	20	9/30/75
18.	Final report, second year	20	9/30/75

*Completed product

allow for additional research at a higher level of effort. This task is now scheduled for completion on February 28, 1974.

Task 4 - Draw Sample and Identify Districts

Select a sample of change agent projects for the study stratified on key demographic and project characteristic variables. The sample will consist of 150 Title III projects, mostly in their third year of federal funding during 1973-74. About 75 projects will be drawn from the other three change agent programs in Title VII, Right-to-Read Program and Vocational Education, Part D. The total of 225 projects will be located in 18 states.* Rand has provided NORC, the survey subcontractor, with a list of 225 projects and names and addresses of school superintendents and project directors where available. During October 1973 NORC notified the districts of sampling plans in each of 225 projects. NORC will interview the following staff:

Superintendent of Schools
Federal Program Manager
Project Director
Two Principals
Four Teachers

In addition, as agreed with USOE in September 1973, NORC will also interview change agent project directors in all multi-project districts in the sample, which should total about 100 additional project director interviews. Section III of this report describes the sampling plan in detail. (Completed 10/31/73)

Task 5 - Design and Pretest Baseline Survey Questionnaires

Develop and pretest questionnaires for baseline survey. This task was conducted during the period July 15—October 15, 1973. The questionnaires as pretested and revised were submitted to USOE for OMB approval during the week of October 12. Separate questionnaires

*Arkansas, California, Colorado, Florida, Georgia, Illinois, Kentucky, Massachusetts, Michigan, Missouri, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Texas, Washington, Wisconsin.

were developed for each of the five classes of respondents with supplementary questionnaire elements provided for each of four federal change agent programs being studied.

Task 6 - Prepare Study Design and Plan; Update Summary Report

Prepare a final study design detailing plans for management of data collection, processing and reporting functions, also specifying plans for data analysis. A dummy final report will be included as part of this study design.

This report was submitted to OE as Revised Study Design and Progress Report for Change Agent Study (WN-8487-HEW, November 1973). (Completed 11/7/73)

2. Phase II

Task 7 - Conduct Baseline Survey

Conduct a baseline survey with approximately 1350 respondents at the local level utilizing structured questionnaires as described in Task 5 for personal interviews. These interviews are being conducted by NORC during the period November 12—December 18, 1973. As agreed with USOE, approximately one hundred additional interviews will be scheduled with project directors of non-sampled projects in sample districts in order to provide a broader basis for generalizations. The data will be coded, keypunched, and submitted to Rand by February 10, 1974.

Task 7A - Telephone Survey of State Education Agency Officials

In the original statement of work we proposed that NORC conduct a baseline personal interview of 75 state level administrators. We are now proposing to change this to a telephone survey to be conducted by Rand in the 18 states where NORC is conducting the baseline survey. The OMB package was submitted for approval on November 15 and the telephone survey is scheduled for completion by January 15, 1974.

This survey will have two main purposes:

a. To collect data including project descriptions, test scores,

and evaluation on the four classes of projects being sampled--Title III, Title VII, Vocational Education, Part D, and Right-to-Read.

b. To obtain information on SEA project selection criteria and state management styles.

The results of this survey will be used to introduce state level variables into the program analysis. (Completion of report, 2/28/74)

Task 8 - Preliminary Analysis of Survey Data

This task will be combined with Task 14, Data Analysis.

Task 9 - Select Subsample of Projects for Field Work

On the basis of preliminary data analysis, select 30 sites for intensive field work and make and contact districts for advance preparation. This task will be conducted during March 1974 and will be based on the results of the first phase of the survey data analysis (Task 14). On completion of this task, all arrangements should be in order for selection of 30 field work sites, including agreement by districts on general outline of field work schedule. (Completion 3/20/74)

Task 10 - Intensive Field Work

Conduct in 30 selected school districts intensive field work on change agent projects. In each district a two-person Rand team will spend several days interviewing district and school-level officials and collecting data on change agent project in the district. The field work will be conducted in April and May 1974, and will focus on five kinds of projects: career education, bilingual education, reading programs, individual instruction, and classroom reorganization projects. The result of each field trip will be written up as an innovation case study. (Completion 6/10/74)

Task 10A - Field Work at State Education Agency

This task, formerly included as part of Task 10, is being separated in order to allow for preparation of a separate section in the final report, discussing the effect of state policies on the continuation,

dissemination, and effectiveness of change agent programs. During March, April, and May 1974, two-person Rand staff teams will spend an average of three days each visiting the state education agency in 10 states. Interviews will be conducted and data collected regarding state policies on project selection, technical assistance, dissemination, and statewide priorities for educational change. The results of these visits will be written up as field trip reports as a basis for the first year final report. (Completion 6/10/74)

Task 11 - Conduct a Local Survey with 200 Respondents, 50 Projects Funded Entirely with Local or State Resources

This task is proposed for deletion because it is felt that the field work will be a better information source for this kind of information than a telephone survey.

Task 12 - Conduct a Survey of Schools which have Adopted Innovations Demonstrated Elsewhere

Conduct a telephone survey of principals in 125 schools, an average of 5 each, that have adopted 25 of the more popular innovations. This project, collecting factual information about the existence, origins, and current status of each sampled innovation, was originally scheduled as a telephone survey. We are now considering possible use of a mail survey. (Completion 6/1/74)

Task 13 - Revised Study Design

On the basis of preliminary analysis of surveys and field work, revise study design. This task, which includes a revised dummy final report, is an updating and refinement of Task 6. (Completion 7/15/74)

Task 14 - Data Analysis

Analyse data collected from surveys and field work, and refine hypotheses about the processes of innovation, change, and dissemination in education. This task, now combined with Task 8, includes: (a) establishment of data management plan; (b) classifying project characteristics; (c) establishing initial typology of structural and process variables associated with innovation, change, and dissemination; (d)

outcome variables of interest; (e) validating and refining, through field work results, the findings of the survey data analysis. (Completion 8/31/74)

Task 15 - Refine Data Collection Plan for Second Year

Prepare a detailed plan for collecting, processing, analyzing, and reporting of data pertaining to Phase III, the Title III continuation study. (Competion 9/30/74)

Task 16 - Final Report and Executive Summary (First Year)

Prepare a final report and executive summary addressing the question of how federal, state, and local education agencies can best promote widespread educational change, with particular attention to strategies for successful federal administration of change agent programs. (Completion 10/31/74)

3. Phase II

Task 17 - Design and Pretest Second-Year Questionnaires

Develop and pretest questionnaires designed particularly to find out about the fate of innovation that had been supported under Title III funds through 1973-74 only. (Completion 12/1/74)

Task 18 - Conduct Second-Year Personal Interviews

Conduct a continuity survey with 420 respondents at the state and local level, at 50 fourth-year Title III projects and a sample of state educational agencies. The state agency interviews may be telephone surveys as in Task 7A, and the local interviews will be personal interviews, conducted by NORC, as in Task 7. Wherever possible, respondents previously interviewed during the 1973 baseline survey will be reinterviewed at this time. (Completion 2/15/75)

Task 18A - Data Analysis, Second Year

This task was previously partly included in the description of Task 20, but was not sufficiently emphasized as a separate activity. It will include analysis of the survey data from Task 17 and the field

work from Task 19. Findings from the first year's data analysis will be reassessed in light of second-year findings. (Completion 8/15/73)

Task 19 - Conduct Second-Year Field Work

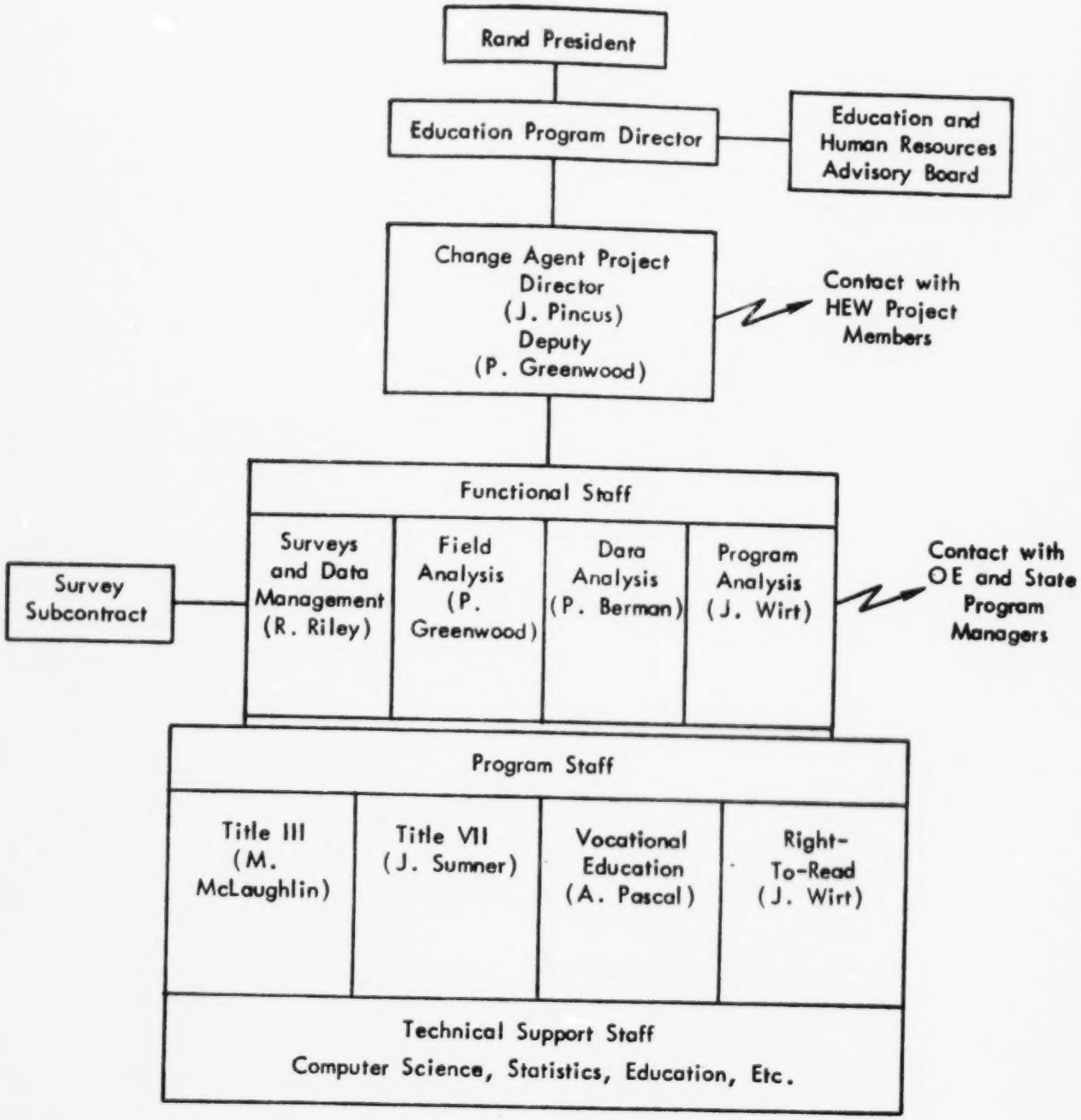
Conduct field visits of 10 of the Title III projects visited during 1973-74 (under Task 20), using wherever possible the same Rand staff teams for the second-year visit. Team activities will parallel the 1973-74 activities, except for a new emphasis on assessing the status of innovations they had previously inspected, and on determining the impact on that status of the termination of federal funding after 1973-74. (Completion 6/10/75)

Task 20 - Final Report and Executive Summary, Second Year

Prepare a final report and executive summary which addresses in particular the question of how federal policy can help local districts to bridge the period between the end of federal assistance and the institutionalization of innovations in a local school system. (Completion 9/30/75)

4. Project Management

Figure 1 shows how Rand has organized to conduct the change agent project. The study will be carried out as part of Rand's education and human resources program. The director of the program, Dr. John Pincus, also serves as change agent project director. Dr. Peter Greenwood serves as deputy director. There are four functional areas of project management: survey design and data management (Robert Riley), which will include liaison with NORC, the survey subcontractor; field analysis (Peter Greenwood), which includes planning and conducting the in-depth field studies; program analysis (John Wirt), which includes collection of data for both sampling design and change agent program analysis; data analysis (Paul Berman), including field work data, survey data, and data collected from the Office of Education. Cutting across these four functions, one or more Rand researchers are assigned to each of the change agent programs; Title III, Milbrey McLaughlin; Title VII, Jay Sumner; Vocational Education, Part D, Anthony Pascal; Right-to-Read, John Wirt. These researchers' principal


Rand President
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Change Agent Project Director (J. Pincus) Deputy (P. Greenwood)
Contact with HEW Project Members
Functional Staff
Survey Subcontract
Surveys and Data Management (R. Riley)
Field Analysis (P. Greenwood)
Data Analysis (P. Berman)
Program Analysis (J. Wirt)
Contact with OE and State Program Managers
Program Staff
Title III (M. McLaughlin)
Title VII (J. Sumner)
Vocational Education (A. Pascal)
Right-To-Read (J. Wirt)
Technical Support Staff
Computer Science, Statistics, Education, Etc.

Fig. 1 — Organization of Change Agent Project

task will be to produce the program analysis reports, survey questionnaire and field study inputs, and data analysis requirements for each of the change agent programs, including contribution of interim and final reports for the 1973-74 school year. This "matrix" organization superimposing functional and programmatic responsibilities appears to be the most efficient method for assuring that both the program-specific analysis and the broader analyses of innovation in general are carried out.

The progress of the project will be reviewed by Rand management and by the Rand Education and Human Resources Advisory Board, whose members are:

Dr. Francis S. Chase, Professor Emeritus of Education, University of Chicago

Dr. David K. Cohen, Executive Director, Center for Educational Policy Research, Harvard University

Professor Laurence Cremin, Department of Education, Teachers College, Columbia University

Dr. John B. Davis, Jr., Superintendent of Schools, Minneapolis, Minnesota

Dr. Helen Bee Douglas, Psychologist, Eastsound, Washington

Dr. Edmund W. Gordon, Professor and Director, Teachers College, Columbia University

Professor Ralph Guzman, University of California, Santa Cruz

Professor James G. March, School of Education, Stanford University

The Honorable Ewald B. Nyquist, Commissioner of Education, The University of the State of New York

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Dr. Alice M. Rivlin, Department of Economics, The Brookings Institution

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Professor Arnold R. Weber, Graduate School of Industrial Administration, Carnegie-Mellon University

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